

ADDENDUM NO. 1

**Kansas City Area Transportation Authority
1350 E. 17th Street
Kansas City, Missouri 64108**

**KCATA ELECTRONIC RECORDS MANAGEMENT SOFTWARE &
IMPLEMENTATION SERVICES
Request for Proposals #G19-7055-21B**

Issue Date: August 21, 2019

This Addendum is hereby made a part of the Request for Proposals and Project Documents to the same extent as if it was originally included therein and is intended to modify and/or interpret the RFP documents by additions, deletions, clarifications or corrections. The Contractor shall acknowledge in the proposal the receipt of this Addendum.

PROPOSAL CALENDAR:

Delete: RFP Closing, 2:00 P.M., September 13, 2019

Replace with: RFP Closing 2:00 P.M., September 27, 2019

REQUEST FOR CLARIFICATIONS

1. In Section 2.3 Project Scope, "Conduct an accounting needs review and discovery." To avoid confusion of terms, what does an "account needs review and discovery" mean to KCATA?
A. Understand and evaluate our current paper processes and software document environments so we have an effective CMS solution, solid cost and time line.
2. Page 15, Section 4.1.G – The outside of each package shall be clearly marked, "RFP #19-7031-37A Mobility As A Service". This appears to reference a different RFP. What is the correct label for the package?
A. RFP #G19-7055-21B Electronic Records Management Software & Implementation Services
3. What is the KCATA budget for this project?
A. We are looking for an effective solution to meet our needs.
4. You mention you have 750 employees. Will all employees access the system? No at most 250 or less. Are there different levels of access?
A. Yes. For example, read only, full access, possibly only occasionally access it? Internal or external employees (are they all part of your Microsoft Active Directory)? We anticipate only internal employees will use the system and all are part of Active Directory.
5. Are you seeking an on premise or Cloud (SaaS) solution?
A. We will consider the best solution for the KCATA.

6. You mention a 2nd pricing option for migrating to a fully digital / electronic records management system. Is the intent to migrate all content (off line and online file shares, etc.) to this solution? How much content would be migrated?
A. No, 1 to 3 years depending on cost. Would you expect all content to be migrated for a go live or would a phased approach be preferred? Depends on cost and time.
7. For your legal hold requirements, if the content is not migrated from file shares, is the intent for users to identify which documents should be included, scan the files into the legal hold brief case, or something else?
A. Please provide Industry best practice.
8. Protecting personal/confidential information of migrated content, correct?
A. Yes. You aren't expecting to handle paper documents from the system in a secure manner – are you? Paper documents that are required by law to be protected should be secure.
9. Making sure we understand the intent: The Records Management staff manage the Records Management Schedules, training and support of the processes. The Staff are to comply with these schedules, and they are required to act based on the schedule requirements, correct?
A. Correct, we would like the application of the schedule to be automated.
10. Ensuring the security and protection of Archive Records. IS this for storage of paper files? Or electronic files? or both? Both, but electronic is the focus. Are you expecting this RFP to also include a paper file storage facility (i.e. Iron Mountain type facility)?
A. We already have a storage facility, but if your proposal can improve the process it should be included.
11. Can you please confirm if there any is formal registration required to submit a proposal?
A. Pre-registration is not required; however, award of contract cannot be implemented without registration being completed
12. Is there any relevant incumbent for any portion of the work being requested in the RFP?
A. We currently use SharePoint in a limited fashion.
13. Will there be any data conversion or migration services needed for this project?
A. Depends on cost.
14. Do you have any estimates for the amount of content that will be converted or migrated?
A. Depends on cost but would like to consider 1 to 3 years.
- i. Number of documents
 - ii. Number of pages
 - iii. Diskspace estimation
 - iv. Database size
 - v. How many database tables contain information we will need for the migration? (ex. documents, versions, metadata, annotations, etc.)
 - vi. Any additional information you can provide on the system that may be helpful.

15. Can you provide the make, model, and version of system that we will be working with?
A. Please see answers to questions in this section.
16. If the current system is utilizing a database, what platform is it on?
A. (SQL, Oracle, etc.)
17. Is there backend access to the database, or do we have to do an export through the current system?
A. Export through current system.
18. Do you have a set number of document types or metadata categories to be converted?
A. Yes
19. Do you want annotations from your current system migrated?
A. No
20. Are you using versioning in your current system? Current Version?
A. No
21. Do you have existing scanners you plan to use with this solution?
A. Yes, please see answers to previous questions.
22. Are they TWAIN compatible?
A. yes
23. Are they ISIS compatible?
A. KCATA recently purchased new Toshiba e-Studio Multi-Function Devices for print, copy, scan, and Fax. Any scanning function is expected to utilize these devices. KCATA also utilizes PaperCut software for print management with these devices.
24. What is your policy if there is shipping issue?
1. KCATA encourages respondents to submit packages early enough to avoid shipping issues and to ensure delivery by the due date. All responses must be received by the stated due time and date.
25. FedEx has lost proposals during transit in the past, how would this be handled?
A. KCATA encourages all respondents to submit responses early enough to avoid possible mishaps and to ensure delivery by the due date. All responses must be received by the stated due time and date.
26. If there is an issue with shipping, can we send a duplicate copy while the original is in transit?
A. Yes, as long as all required documents are received by the specified due date and time.
27. If we are not selected, will there be any opportunity for a debrief or other feedback?
A. Once a contract has been put in place KCATA Procurement Staff can provide a date and time to debrief any non-winning proposal.

28. Do you plan on using a single sign-on service (SSO)?

A. Yes

29. Which provider(s) do you have or plan to use?

A. Proposals should include Microsoft Active Directory Integration. We do not currently use a 3RD party SSO.

30. Do you have an Active Directory (AD) containing the users for the new solution? If so, can we sync with your AD to significantly reduce the amount of time required for user Configuration?

A. Yes. All users are included in our current Active Directory and we expect the proposed solution to integrate with AD.

31. Do you already have your records retention periods defined?

A. We expect to use the State of Missouri’s retention periods, but if you have something better, we will consider it.

32. If no, would records management consulting be part of this RFP?

A. Yes

33. During your audits, what types of records are requested?

A. Financial, employment and maintenance.

34. Can you provide a sample of each document, if possible?

A. Yes

35. As indicated during the pre-proposal conference for this opportunity, can the pricing tables be reformatted to include the following sections, rather than software and configuration & implementation: required software, required services, optional software, optional services. I have included a brief draft for reference on the following page.

A. Attachment D has been revised to include all elements that require pricing. See attached spreadsheet.

Description	Estimated Quantity		Unit Price	Year 1	Year 2	Year 3	Year 4	Year 5
Software-Required								
Services-Required								
Software-Optional								
Services-Optional								
Annual Maintenance								
Grand Total								

36. What is the current cloud-based email solution used by KCATA?

A. Office 360 – Outlook

37. Could your IT staff confirm that the Toshiba multi-function devices KCATA staff use are compatible with ISIS drivers?

A. KCATA recently purchased new Toshiba e-Studio Multi-Function Devices for print, copy, scan, and Fax. Any scanning function is expected to utilize these devices. KCATA also utilizes PaperCut software for print management with these devices.

38. Typically, we provide software and services and only specifications for hardware requirements that clients procure through their standard channels. Is this responsive to the needs of KCATA?

A. Yes

39. The RFP states that “Travel expenses, if any must be approved in advance by KCATA and will be based on KCATA’s Travel Policy for Contractors.” Does KCATA prefer that fixed-price implementation pricing be inclusive of all travel and expenses; or, that implementation pricing not include travel and travel be handled separately according to KCATA policy?

A. Inclusive of all travel expenses but please provide a separate line item for total travel outlining number to trips to KCATA.

40. In Attachment D – Cost/Price Proposal – vendors are asked to price for 250 users. Based on the pre-proposal meeting are we correct that 100 of these users can be priced as read only users?

A. Yes.

41. In Attachment D – Cost/Price Proposal – if we presented cost in a format similar to the following would our presentation be considered responsive?

A. Attachment D has been revised to include all elements for required pricing. See attached spreadsheet.

Description	Unit	Unit Quantity	Unit Price	Year 1	Year 2	Year 3	Year 4	Year 5
Software:								
Software Component 1	Full Use - Named User	150	\$999.99	\$99,999.99				
Software Component 2	Read Only - Named User	100	\$999.99	\$99,999.99				
Software Component 3	Server Instance	1	\$999.99	\$99,999.99				
-	-	-	-	-				
Software Component N	Full Use - Named User	250	\$999.99	\$99,999.99				
Maintenance:								
Annual Maintenance	N/A	N/A	N/A	\$99,999.99	\$99,999.99	\$99,999.99	\$99,999.99	\$99,999.99
Services:								
Task 1	Hours	999	\$999.99	\$99,999.99				
Task 2	Hours	999	\$999.99	\$99,999.99				
Task 3	Hours	999	\$999.99	\$99,999.99				
-	-	-	-	-				
-	-	-	-	-				
-	-	-	-	-				
Task N	Hours	999	\$999.99		\$99,999.99			
Grand Total				\$999,999.99	\$999,999.99	\$999,999.99	\$999,999.99	\$999,999.99

42. Can KCATA provide a list of the more significant line of business, enterprise and enterprise resource planning (ERP) software that is used by the Authority?
1. ADP (Payroll)
 2. Infor Enterprise Resource Planning (ERP-Finance, procurement). NOTE: We are currently upgrading from Lawson Financials to Infor ERP
 3. Infor Enterprise Asset Management (EAM)
 4. Trapeze TransitMaster (Intelligent Transportation System, AVL, GIS)
 5. Giro Hastus (Vehicle Scheduling and Daily Dispatch Operations)
 6. Microsoft Office 365/One Drive for Business
 7. SharePoint (intranet)
43. What server environment has KCATA standardized on – i.e., does KCATA run on Microsoft Windows Servers and if so what version? Are virtual servers used?
- A. Windows server 2012 R2 and 2016.
44. Do KCATA users have Microsoft Office or O365 tools? Has KCATA implemented SharePoint and if so what version(s) and how widely used?
- A. O365 G3. SharePoint is being used as the company intranet and for limited file sharing.
45. Does KCATA use a GIS system – if so, what vendor and version?
- A. Yes. Our scheduling (Hastus) and Dispatch (TransitMaster) systems both use GIS functionality.
46. Has KCATA standardized on a relational database platform – e.g., Microsoft SQL Server – if so, what version(s) are implemented?
- A. SQL Server 2012. 2016.
47. Has KCATA standardized on its internet browser? If so, what browser(s) and versions?
- A. We use I.E., Chrome, Firefox, and Microsoft Edge browsers interchangeably. No defined standard at this time.
48. Does KCATA desire remote access to documents and records that will be stored in the Content Management solution?
- A. No, but might entertain that option at a later date.
49. Will answers to questions be posted from all vendors be posted for review?
- A. Yes
50. As discussed in the pre-proposal conference – we understand that estimating annual scanning volume in pages is difficult – and, also recognize that some guidance was received; however, to ensure prices are apple-to-apples comparisons it would be helpful if KCATA could provide a scanning volume that vendors should use for pricing?
- A. 500,000 to 1 million pages
51. What current systems (cloud and on-premise) have electronic records stored in them?
- A. KCATA utilizes SharePoint/One Drive for Business and an on-premises file server for document

storage. The following enterprise applications also store and produce electronic records: ADP Payroll (cloud); Infor Cloud Suite Financials (cloud); Infor Enterprise Asset Management (cloud); Office 365-Exchange Email (cloud); Trapeze TransitMaster Dispatching (on prem); Giro Hastus scheduling (on prem).

52. What is the current cloud-based email management system?

A. Office 365/Outlook – utilizing a hybrid on-prem/exchange on-line setup.

53. If not mentioned in question 1, are any electronic content management systems in use today like SharePoint, Box, M-Files, IBM/FileNet, etc?

A. KCATA utilizes SharePoint/One Drive for Business for file storage, but it is not set up as a document management system.

54. Are physical records stored on-site or off-site with a third-party provider?

A. Not currently but are in the process of acquiring off site storage.

55. If off-site is any integration required with the third-party vendor?

A. No, but we are willing to consider any such proposal.

56. Are the Toshiba MFD devices used for document scanning today?

A. Yes,

If yes:

- a. Where are scanned documents sent? – email or directly to one drive.
- b. What is the volume of document scanned? – 15,000 to 20,000 pages per month.
- c. Is OCR performed on scanned documents? – not typically. Scans are usually saved as PDF documents.

57. Does KCATA use any workflow tools today?

A. No

58. Does KCATA have a retention schedule in place today?

A. No, one is not fully in place.

59. Are records dispositioned today when they reach the end of their retention?

A. No.

60. Attachment C states KCATA's Travel Policy. If a vendor normally includes travel expenses within the daily rate, would this be acceptable?

A. No. Or would KCATA require a rate that does not include travel and thus all travel expenses are invoices separately? Yes

61. Attachment D is asking for pricing with 250 users.

Are these 250 users to be considered Full Access users?

If not:

1. How many of the 250 should be Full Access (Administrators, Records Managers, IT, etc)?

- A. There will be no more than 10 administrators.
2. How many of the 250 would be Participants (View access to records, participate in business processes for approvals, typically manager levels)?
- A. 75
3. How many of the 250 would simply need view only access to records?
- A. 165
62. Does KCATA require all 250 users to be trained by the vendor? Or would you prefer a “train the trainer” methodology?
- A. If so, how many of the 250 would be involved in that? Already answered
63. What departments would initially be involved in utilizing the ECM solution?
- A. Finance, Legal, IT and HR.
64. The implementation of software solutions can vary widely depending on project budget. Our firm has successfully delivered projects across various budget ranges. To help us best meet the goals of your solicitation, can you please approximate the anticipated budget range for this project?
- A. Please provide us what we need to sufficient manage our records, you may also bid a budget option that will start us towards a paperless environment. For example, is the anticipated budget range:
- a. Less than \$100,000
 - b. \$100,000 – \$150,000
 - c. \$150,000 – \$250,000
 - d. \$250,000 – \$350,000
 - e. \$350,000 - \$500,000
 - f. \$500,000+
65. What qualifications are you looking for in an implementation partner?
- A. For example, we have multiple Microsoft Gold and Silver Competencies, Microsoft Certified Masters, etc.; will the proposal scoring take our technical credentials into account? Several experiences and successes in implementing a public agency similar to the KCATA on budget.
66. We are a Microsoft SharePoint Deployment and Planning Services (SDPS) Provider; in that regard do you have any Microsoft Software Assurance vouchers that might be applied to the budget?
- A. no
67. Remote project delivery typically enables us to reduce project duration and costs. Most of the projects we do *could* be delivered 100% remotely however, we sometimes find it useful to be onsite during discovery meetings, training, etc. Considering the potential effect on project duration, resource availability, and cost on a scale from 1 to 5 where 1 represents "100% onsite project delivery" and 5 represents "100% remote project delivery", what are your requirements on this continuum?
- A. discovery and training should be on-site. Meetings and other work sessions could be a mix of

on-site or remote.

68. Did any contractor or vendor assist with the development of this solicitation or provide you with an initial evaluation, proof of concept, demonstration, pricing, or any other analysis related to this procurement? If so:

- a. Please provide the name of all contractors and vendors
- b. Are these contractors and/or vendors eligible to bid on this project?

A. No

69. The RFP states that the solution should be “housed on KCATA server” indicating that you may not be open to a cloud-based solution; on a scale from 1 to 5 where 1 represents “An on-premises solution housed in your facility, managed and maintained by you” and 5 represents “A cloud-based solution managed by you”, what best represents the desired solution on this continuum?

A. We will consider either on-premises or cloud-based solutions.

70. We are a SharePoint and Office 365 focused consultancy and have successfully combined these platforms with best of breed third party software products (as needed) to implement comprehensive intranet, extranet, and enterprise document and records management solutions; given what you know about SharePoint/O365, including any as-needed 3rd-party add-ons, on a scale from 1 to 5 where 1 represents “Will not meet our requirements” and 5 represents “We believe SharePoint or O365 is the best platform for our needs”, what represents your view on the continuum?

A. We understand the potential of a SharePoint centered solution and welcome proposals that utilize that functionality.

71. On a scale from 1 to 5 where 1 represents an all-in COTS solution with minimal configuration and 5 represents a platform-based solution requiring some professional services, customization and possible third-party products, what is acceptable with respect to the solution you are looking for on this continuum?

A. provided that the implementation provides training and tools for existing staff and resources to manage and maintain the proposed solution.

72. On a scale from 1 to 5 where 1 represents no Information Architecture and 5 represents a comprehensive Information Architecture including all necessary Document/Content Types and Term-Sets to fully support the solution in areas such as search, workflow, records management (i.e. retention policies), etc., how would you rank your current Information Architecture?

A. 1.5

73. The RFP indicates “The KCATA is comprised of 8 departments and over 750 employees” however Attachment D indicates that there will be “250 Users”; to confirm, how many users should we account for as it relates to product pricing, implementation services scoping, etc.?

A. KCATA has approximately 250 “desked” users with their own PC or laptop. This is the maximum number of employees that would use the system. For bid consistency, use 150 employees accessing the system with some room to grow as necessary. You can bid it with 150 and add on licenses in groups of 50 more employees.

74. Can you please provide an organizational chart the includes all departments/business units that will use the solution?

A. Yes

75. The RFP indicates “Email records management is currently facilitated through a cloud-based enterprise mail solution but should be factored into the overall records management system”; what cloud-based enterprise mail solution is being use?

A. Office 365/Exchange On-Line/Outlook

76. Regarding your current experience with SharePoint and/or O365, if you are using either: What version are you currently licensed for (e.g. SharePoint 2016, SharePoint Online G3, etc.)?

A. SharePoint Online G3

77. Do you already have the requisite licensing for the number of anticipated users of the solution being contemplated in this solicitation?

A. Yes

78. What is the current breath of usage in terms of number of:

- a. Departments - 13
- b. Users – 250
- c. Site Collections - 1

79. For what workloads are you currently using SharePoint/O365 (e.g. collaboration portals, document management)?

A. Mostly document management, some forms and work flows. We are currently working to expand our use of SharePoint.

80. What, if any, problems or dissatisfaction have you experienced with SharePoint/O365?

A. none

81. Do you already own any SharePoint-related products (e.g. ShareGate, Nintex, etc.) and if so, which ones?

A. no

82. On a scale from 1 to 5 where 1 represents “None” and 5 represents “Expert”, can you please indicate what SharePoint/O365 skills you currently have in house in terms of:

- i. Infrastructure, Administration and Maintenance - 3
- ii. Information Architecture Design and Implementation - 3
- iii. Content Owner/Authorship - 2
- iv. PowerShell and C# Development – 1

83. Regarding your Records Management requirements:

- a. Can you please provide details about or a copy of your retention schedule/file plan including the number of record categories/series/types?

- A. We are planning on using a version of the State of Missouri's record retention schedule. A copy can be obtained in their website.
- b. How/where are digital records currently stored (e.g. on file shares)?
A. One Drive for Business and on-prem file shares.
- c. Can you please provide details about the storage of Physical Records (e.g. # of locations, cabinets, containers, folders, documents, etc.)?
A. Offices, hallways and file rooms, 500 file cabinets.
84. If the migration of documents on file shares into the new solution is within the scope of this solicitation, please answer the following:
- a. How many documents need to be migrated?
A. Please quote the cost and we will decide if we migrate 1, 2 or 3 years of documents and to what extent.
- b. How many folders are there in the file shares that need to be migrated?
A. 150K
- c. What is the total size in GB/TB of the content to be migrated?
A. 1.5 TB
- NOTE: Not all of these documents will need to be migrated. This is the total size of our on premises file storage system.
- Note: this information can be determined by right-clicking on the parent folder and selecting "Properties".
85. Regarding requirements related to workflow as indicated in the requirements stated as "Improve workflow and employee productivity" and "Workflow of digital records":
- a. Are the required workflows centered on document approval and records management (e.g. disposition policies) or do they include process workflows to automate line of business functions?
A. Please bid both
- b. Can we assume that the workflows are very simple in nature (e.g. document approval)? A. yes
- c. How many workflows are to be built as part of this solicitation?
A. As many as needed to improve the operations and produce a ROI.
- d. If you have knowledge and experience with SharePoint, do you anticipate that the required workflows can be addressed with using SharePoint's built-in workflow capability?
A. unknown
- e. If available, can you please provide an outline of the steps or flow diagrams that represent a typical workflow?
A. Development of these workflows should be included in your proposal.
86. Can you please provide detailed information and use cases for the requirement stated as "Digital contract management and execution solutions"?

- A. We are looking for an automated electronic digital contract management system. New, renewal, and approval process should be electronic for both parties along with automatic retention.

87. Regarding the statement "It is expected that the successful proponent(s) will work with the KCATA Legal, HR, Finance and Information Technology Departments":

- a. Does this mean that you are open to a pilot project limited to these departments?

A. We can start with these departments with a plan to add the other departments within 3 years.

- b. If so:

a. How many people comprise these four departments? 55

b. How many sub-departments or business units comprise these four departments? 10

88. Regarding requirements related to the requirement stated as "**Scan** and search the content in digitized file formats", if Document Capture/Scanning is within the scope of this solicitation, please answer the following:

- a. If you desire to leverage an existing document capture software:
 b. What capture software do you currently use?
 c. Is this software able to release scanned documents and metadata to SharePoint Online?

A. For a & b - PaperCut is used to scan documents and send them to email or OneDrive. Any other features would need to be included in your proposal.

- d. How many of each of the following types of devices should we account for with respect to our price proposal:

Multi-function Scan/Copy/Fax/Print - 28

Single Workstation Scanner - 0

Work-group Scanner - 0

High capacity Scanner - 0

Copiers - 0

Other? - 0

89. How many index-only users do you desire to procure software for?

A. Please provide a recommendation based on size and volume proposed.

90. What **percentage** of each of the following types of "paper documents" will be scanned into the system: *(Please select only one)*

- i. Always the same, well-defined, standard forms with standard data ("structured") - OR -
 ii. Mostly similar documents with standard data that may be in different places on the document ("semi-structured") - OR -
 iii. A broad array of different documents with different data on them ("unstructured")

A. Unknown. Please base your proposal on similar projects.

91. What is the current scanning volume per day/week/month?
A. 15,000 to 20,000 pages per month.
92. Are you currently using server-based scanning products to achieve the required throughput?
A. no
93. Do date stamps need to be added to the physical paper of the document or just the digital version?
A. Just physical version
94. Section 4.1, Proposal Format, Item G. indicates that “The outside of each package shall be clearly marked, “RFP #19-7031-37A Mobility As A Service”; can we assume that this is a typo and that the package should be labeled “RFP #G19-7055-21B – Electronic Records Management Software and Implementation Services”?
A. Yes
95. The RFP indicates “The Technical Proposal page limit is 30 pages”; what, if any, sections of the response such as the Table of Contents, Resumes/Biographies, RFP Forms, etc. are excluded from the page count?
A. Section 4.3C Volume II – Technical Proposal, Page 17 provides a list of pages that are excluded from the page count.
96. The RFP indicates “The Proposer shall submit the firm’s most recent unaudited financial statements as well as two (2) years of its most recent audited annual financial statements if available”. As a privately held corporation, we do not have audited financials; will our most recent unaudited financial statements satisfy this requirement?
A. yes
97. What is your vision for post implementation support in terms of anticipated number of hours per month?
A. On average what do typically provide for your existing clients and outline those assumptions in your bid.
98. As an environment-friendly / Green company, we strive to reduce our consumption of paper; to that end, can respondents submit proposals electronically via email in lieu of hard-copy proposals?
A. Yes
99. Is there a stated budget for this project?
A. No
100. Will KCATA resources be allocated to complete discovery of current processes and provide input on future processes?
A. Please include that in your cost proposal.

101. From an accounting and business perspective will all current documentation be shared with selected firm to maximize interview time with KCATA personnel?

A. yes

102. Is there a preferred model of a similar transit authority that is the intended goal?

A. No

103. Is the ERM solution request inclusive of all business processes or a limited set such as:

1. HR offboarding and onboarding
2. HR archive/Retiree
3. Fare collection
4. Finance
5. Supply Chain
6. Audit
7. Compliance
8. Asset maintenance
9. Facility maintenance
10. Spare part management
11. Rail
12. Bus
13. Other
14. Advertising and Marketing
15. Current training
16. Is the Airport out of scope
17. Federal grant programs

A. Please bid both.

104. Is KCATA open to a cloud first approach?

A. yes

105. Which Cloud providers are currently authorized providers (Azure, AWS, Google, etc)?

A. We currently use Azure and AWS. But you may propose any solution.

106. Any exiting electronic data is to be migrated to the new solution?

A. Yes; however, the volume will be determined during discovery.

107. Any existing tangible documents or data to be digitized and searchable for archive purposes?

A. 1 to 3 years of operating documents depending on cost.

108. Which DB and middleware systems are in place currently?

A. SQL Server

109. Are the licenses held by KCATA or another state level agency?

A. KCATA

110. What systems can KCATA personnel support?

A. SQL Server

111. Is KCATA open to replacing or adding hardware devices to enable digital transformation?

A. yes

112. Is all CSP software and systems referring to the newly implemented solution?

A. yes

113. Will KCATA consider outsourcing of the run and maintain or operational readiness of enterprise solution?

A. yes

114. Training on new systems and processes are understood, that it must be provide?

A. Please see answers to previous questions on this issue.

115. Is KCATA open to enabling Organizational Change Management across the workforce?

A. yes, Re-focusing the workforce to be more efficient

116. System design. The system should be able to manage the following areas: Records management, policies, legal hold management, electronically stored information and security, data privacy, E-discovery, technology and data systems, discovery management, staffing recommendations, and training needs.

1. Records Management

18. Which records

A. All KCATA operating records, paper and electronic.

2. Policies

1. Are the policies inclusive of employment, consumer, and oversight?

A. Yes

3. Legal Hold

A. Yes

4. Is this inclusive of Email and KCATA owned and managed user devices?

A. yes

a. Laptops

b. Computers

c. Tablets

d. Mobile Phones

e. Handheld Devices

f. Maintenance devices that pull data from equipment

5. Electronically Stored information

- What is not included?

A. Nothing

6. Security

- Firewalls and security devices
- Data security
- Asset security
- Physical security of operators
- Emergency communications

A. Yes

7. Data Privacy

- Employee
- Consumer
- Vendors
- Subcontractor

A. Yes

8. E-discovery

A. Yes

9. Technology and data systems

- Local Area Network (LANs)
- Wide Area Network (WANs)
- Internet access
- Remote out of band connections

A. Yes

10. Discovery Management

- What is included.

A. All documents to defend litigation.

- What is not included.

A. Nothing.

11. Staffing Recommendations - Yes

- Human Resource capital - Yes
- Hiring - Yes
- Terminations - Yes
- Consulting - No
- Promotions - Yes
- Appraisals - Yes
- Qualifications - Yes
- Payroll - No

12. Training
A. Please Expand – We should be able to track training of each employee.
13. Project management. - Yes
- PMO and Governance - Yes
 - Bridge between the Business and IT. - Yes

117. Is the data to be migrated in encrypted form? If yes, will KCATA provide data in standard format?
A. Not encrypted.

118. Is the existing volume and data to be migrated to the new system? If yes, what is the current volume of transactions for migration?
A. 1 – 3 years of existing data may be migrated depending on cost.

119. Can you please share the name of the regulatory law which has these compliance requirements?
A. State of Missouri Archivist.

120. We assume these Toshiba devices are print, copy and scan device where “Scan to Network” feature is available. Please confirm.
A. Yes

121. Please elaborate on “Conduct an accounting needs review and discovery?”
A. Review of current KCATA workflows to move operations to a paperless environment.

122. Our understanding of CSP is Content Service Provider. Please confirm.
A. Yes

123. We assume that training will be at the central location and to the users of the software of EMR. Please confirm.
A. yes

124. Please explain the use of “discovery management and general litigation readiness.”
A. We understand from discovery management that it is a search mechanism of the document. We need to be able to create, retain, locate and download or copy documents electronically based on multiple criteria.

125. We recommend a staffing role for the records management and records room. Therefore, we may need to understand the existing load of records and its rate of growth per year. Will this information be shared at a later stage or can it be shared now?
A. Yes, but to start the growth rate is about 5% per year and leveling off in about 5 years.

126. Please provide the file classification details i.e., excel template of capturing record management.

A. no standardization currently exists.

127. Please confirm how many users are expected to work simultaneously, at peak time our of the 250 users mentioned in the proposal?

A. 100 to 250 max.

128. Is a scanning software product required by your organization for conversion of physical documents into digitized documents? If yes, will scanning & digitization be centralized or distributed? If distributed, then at how many locations? What is the number of users who would be accessing the scanning software?

A. KCATA currently utilizes 28 Toshiba MFP's with PaperCut software solution.

129. Please provide clarity about the number of environments e.g, Development, UAT, Production, DTR etc. which need to be considered as part of current project scope.

A. Test and production at a minimum.

130. Do you need High Availability for the proposed Solution? Please confirm.

A. Yes for some of the information. We are open to recommendations that include a mix of high availability and low availability archived data.

131. Can KCATA provide a definitive list of source files and source systems for data?

A. See above answers for more detail. KCATA cannot at this time provide a definitive list.

132. Do you presently have a Contract Management tool and if so, what?

A. No, one has not been set up.

133. Does KCATA presently have an OCR/Scanning system and if so, is the intention to continue using this moving forward?

A. We are open to using our existing solutions (PaperCut) or moving to a new system. Please propose best practices and the best overall solution for our situation.

114. The Toshiba hardware you reference – what is the specific use of this?

A. MFP devices (print, copy, scan, fax).

115. Does the KCATA maintain any tax-exempt status?

A. Yes

116. What taxes does KCATA anticipate having included in the pricing?

A. No taxes

117. In Section 4.2.B it is stated “KCATA anticipates awarding a firm fixed price contract.” This typically indicates a fixed deliverable-based price schedule for inclusive of all costs including staff and applicable travel. What information is required to be disclosed about bill rates for staff or other expenses?

A. All rates, # of days, costs and expenses required or otherwise necessary for the KCATA to calculate the actual cost for travel for the entire project.

118. In the Work schedule, what costs are expected to be disclosed in the schedule?

A. All costs necessary to complete the project.

119. Are travel expenses not to be included as part of the Cost Proposal? If they are to be included, how should they be reflected in the Cost Proposal (Attachment D-1)?

A. Add an additional line for travel costs.

120. “Attachment A – Volume III: Contractual” requires the inclusion of “Attachment B – Sample Contract Terms and Conditions.

1. Are vendors expected to provide comments or legal exceptions to the Attachment B with their response in Volume III?

A. Yes, but your pricing should include the cost to accept the terms as written. We expect you to deliver a fully functional product tailored to our needs and you will be paid the agreed upon price. If the products do not work as needed and promised, then you will need to fix it at no additional cost. Any exception suggesting you won't guarantee your work or products to perform as needed and promised will be rejected.

Yes, Per the RFP, page 19, Section 4.3.E.6: Any exceptions or omissions to the sample contract or requirements of the RFP must be clearly marked and included in Volume II – Technical Proposal Response.

2. If the vendors are expected to provide comments or legal exceptions, how would KCATA like to receive this information?

A. This information must be clearly marked and included in the proposal response no later than the specified deadline for submittal to be considered.

121. Are the cost associated with “Configuration & Implementation” to be fixed price inclusive of all costs for each defined deliverable? If not, can you provide guidance on how these cost/prices should be provided in this table?

A. Yes

122. Section 4.3.E.5g requests details of cost allowances be provided for KCATA participation. Please explain what is meant by “cost allowances.”

A. Since KCATA will be administrating the system, we will have 2 employees working on the implementation of the project, and what is the value of their time to offset the project costs?

123. What is the preference for the training approach? Is a train the trainer approach preferred, or vendor provided training to all employees?
A. Please price both – training for 25 employees and more detailed training for two fully trained trainers, along with training materials for a total of 250 employees.
124. Are there requirements for the method of training: on-line training, written/web based self-learning training materials or instructor lead classroom training?
A. Training Manuals and instructor – see answer to #9.
125. Does the Agency have a defined document naming and storage policy?
A. In development, but similar to the State of Missouri Retention Schedule.
126. Does the Agency have a desire to convert legacy paper and other media into the new Content Management system and if so what is the approximate volume of those collections?
A. 1 to 3 years depending on cost.
127. What are the model number(s) of the Toshiba Devices which need to be integrated into the system.
A. Estudio 5516ac; 3515ac;
128. What internal Executive Sponsors, IT Resources, and/or resources does the Agency intend to dedicate to a successful Assessment and eventual Implementation?
A. Project managers and a member from each department.
129. Does the Agency have a current Document Security Policy in place?
A. Yes
130. Does the Agency have any specific Federal and/or State regulation requirements that specifically need to be addressed and/or software must be certified for?
A. No
131. Has the Agency currently adopted or in the process of adopting a standardized Retention Policy for their records and documents?
A. In progress
132. Regarding the first bullet in the project scope "Conduct an accounting needs review and discovery" - will the discovery be limited to the Accounts Payable and Legal Department processes specifically as a pilot/use case?
A. No
133. Will the agency require or desire the other department(s) mentioned in the RFP to be included e.g. Compliance, Retention Policy, HR, IT, and the rest of Accounting?
A. Yes
134. How much of the outlined Legal Department (legal hold management, e-discovery, and litigation readiness) is intended to be in the initial scope/quote vs considered a secondary phase and scope on the enterprise roadmap?
A. We will consider reasonable suggestions.

135. Will the Agency be looking to the State of Missouri retention policy for guidance regarding their implementation of a Records Management Policy?
A. Yes
136. What kind of physical paper document collections exist that may be related to the day forward digital process? Internal and will soon us Iron Mountain system. Are they located onsite at the Agency or stored by a third party?
A. Currently, on site but are working on offsite storage.
137. How many invoices per day does the Agency process in Accounts Payable?
A. 250 per week.
138. How many and what type of litigation does the Legal Department manage per year?
A. Generally, Work compensation, auto, employment, real estate.
139. Per 2.4(2) (Deliverables) it appears that the Agency desires a license solution that is perpetually purchased and hosted on premises. Is this accurate?
A. Yes, but will consider other options.
140. Does the Agency require redlines to the proposed Contract terms and conditions section to be accomplished prior to proposal submission, or will this be a function of the process post bid award?
A. Yes, but we expect a bid based on the KCATA contract terms submitted with the RFP.
141. RE: 4.4(8) - the RFP states including a Jump Drive or CD copy of the proposals as outlined in 4.1(c), but at the pre-bid conference it was stated the Agency has no ability to read CD's at this time and requires a Jump/USB Drive. Can you please confirm the desired format?
A. Jump/USB drive
142. Does the Agency require storage/management of any rich media files as part of the scope of this Project?
A. Yes
143. Does the Agency require Federated Search across platforms including the proposed Content Management system in this scope?
A. Yes
144. What is the process for the Agency to find a lost/missing document today?
A. Manual search of file cabinets and electronic search of existing software through the program's internal search functions.
145. How long are physical documents and files stored onsite at the agency before they are sent to offsite storage/destruction?
A. We do not currently have any files stored off site.
146. How many times per year does the Agency face audits, internal and/or external?
A. Once year there is a financial audit and every three years an audit by FTA.

147. Is the Agency currently capturing any Early Payment discounts or paying any Late Payment penalties in their Accounts Payable process?
A. No
148. How many AP clerks does the Agency have processing Invoices today?
A. 2
149. How many Employees are OnBoarded/OffBoarded annually at the Agency?
A. 200
150. What type of external/constituent facing access to records does the Agency need to provide to the public/other organizations outside of KCATA?
A. Board meeting agenda, related documents and meeting minutes are placed on our internet.
151. What type of ROI metrics will the Agency be measuring the success of an implementation by?
A. More efficient workflows, less FTEs or as a percent, less time locating documents, reduce paper and storage needs and costs.
152. Does the Agency desire/require a fully configured Incident Report management solution for their 200-2500 incidents reported annually?
A. No, we currently have one, but are willing as a secondary component to consider the benefits of a fully integrated element. Or is this considered a potential secondary phase to be scoped separately? Secondary.
153. Does the Agency desire/require a fully configured Procurement Process and Document management solution as part of this bid?
A. Yes. Or is this considered a potential secondary phase to be scoped separately?
154. Regarding the HR Scope, will the Agency require a fully configured "Hire to Retire" HR solution including Employee Self Service, Policy and Procedure Acknowledgement, Annual Reviews, Benefits and Payroll, etc as part of this initial phase?
A. No, we are currently using ADP payroll and related services. We are willing to consider a fully integrated element depending on the benefits. Or would Employee File Management be more appropriate scope initially with the other workflows/processes to be determined based upon further detailed needs analysis? Yes.
155. Is Agenda Management with its associated workflows and document processes in scope for this initial phase, or would this be considered a secondary phase of the Enterprise roadmap?
A. We currently have an agenda management system (Civic Clerk) but are willing to consider one fully integrated system.
156. Please confirm the approximate constituency of User Groups in scope for the initial phase for license allocation purposes. Per the Pre-Bid conference we noted: Total:
A. 50 Power Users, 150 Scan/Store/Ret'v Users, 25 Read Only users. Confirmed
157. Please confirm the number of FOIA requests answered by the Agency a week/month/year estimate.
A. 3 per week

ADDENDUM NO. 1

**Kansas City Area Transportation Authority
1350 E. 17th Street
Kansas City, Missouri 64108**

**KCATA ELECTRONIC RECORDS MANAGEMENT SOFTWARE &
IMPLEMENTATION SERVICES
Request for Proposals #G19-7055-21B**

Proposers shall return this **RECEIPT OF ADDENDA** form when submitting their bid. The form shall be signed and dated by an authorized representative of the firm. Failure to submit this form may deem the Bidder non-responsive.

We hereby acknowledge that the Addenda noted below have been received and all information has been incorporated into the Invitation for Bid as required.

Addendum #1 Dated _____ Date Received _____

Addendum #2 Dated _____ Date Received _____

Addendum #3 Dated _____ Date Received _____

Addendum#4 Dated _____ Date Received _____

Company Name _____ Date _____

Address/City/State/Zip _____

Authorized Signature _____ Printed Name _____

Telephone _____ Fax _____ Email _____